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Contracting

**CONTRACTOR PERFORMANCE
ASSESSMENT REPORTING SYSTEM (CPARS)**

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This instruction implements AFPD 64-1, *The Contracting System*.

SUMMARY OF REVISIONS

This update contains the following changes: Delete the first two sentences from para A.17 and A2.16 of Attachments 1 and 2, respectively. The CPARPOCS will no longer be required to input special industry codes into the Lotus Notes database because we will now use the business category subelements to record information for the Trends Book. Delete Attachment 3, we are not going to use industry codes in the future. Renumber Attachment 4 as Attachment 3, accordingly. Under paragraph A2.2, third sentence, state that both the business category and the business category subelement must be printed under block 1 of the form to ensure recording of information into the Trends Book.

Section A—Air Force Materiel Command Policy

1. Purpose.

1.1. The main purpose of the CPARS is to ensure a Command-wide database of contractor performance information is current and available for use in responsibility determinations and in selecting best value contractors. Performance assessments will be used as an aid in awarding contracts to contractors that consistently produce quality, on-time products and conform to contractual requirements. The CPAR can be used to effectively communicate contractor past performance to source selection officials. The CPAR will not be used for purposes other than as stated in this Instruction; however, summary data may be used as outlined in paragraph 1.6.

1.2. The CPARS assesses a contractor's performance, both positive and negative, on a given contract during a specific period of time. Each assessment must be based on objective facts and be supported by program and contract management data, such as cost performance reports (CPR), quality reviews,

technical interchange meetings, financial assessments, production management reviews, contractor operations reviews, and functional performance evaluations and earned contract incentives. Subjective assessments concerning the cause or implications of the contractor's performance should be provided; however, speculation or conjecture should not be part of performance evaluations.

1.3. The value of a CPAR to a future source selection team is inextricably linked to the care the program manager (PM) takes in preparing a quality narrative to accompany the ratings. The term PM will be used throughout this instruction as a general term for that person responsible for program/project execution and can be applicable for services, information technology, operations support acquisitions, and S&T contracts funded with 6.4 money. The term "performance evaluator" is also used, and this term generally is more appropriate for service efforts. For systems acquisitions the term "program manager" is more precisely defined. The PM for systems is the System Program Director or Product Group Manager, who has overall responsibility for acquisition of a system within the approved Acquisition Program Baseline. It is of the utmost importance that the PM make a dedicated effort to thoroughly describe the circumstances surrounding a rating.

1.4. The CPAR process is designed with a series of checks and balances to facilitate the objective and consistent evaluation of contractor performance. Both government and contractor program management perspectives are captured on the form. The assessment is reviewed by a level of management above the PM (see paragraph 6.9) to ensure consistency with other evaluations throughout the activity as well as other program assessments. CPARs are not subject to the "Disputes" clause, nor are they subject to appeal beyond the procedures described in this instruction.

1.5. The nature of the effort to be acquired will determine which CPAR form is required. If a given contract contains a mixture of types of efforts, the acquisition activity will determine which business sector is appropriate based upon the preponderance of the contract dollar value. Block B12A of the contract's DD Form 350 (on file in the contracting office) will be consulted in determining the type of CPAR required as well.

1.6. While the CPAR will not be used for any other purpose than stated in paragraph 1.1, summary data from the CPARS database or from the reports themselves may be used by HQ AFMC and the AF Program Executive Officers to measure the status of industry performance and support continuous process improvement, provided that the data used does not reveal individual contract or contractor performance in any form and is subject to the limitations of paragraph 3.4. Also, SAF/AQ requires that PEOs and DACs present summary data at PEO and DAC Portfolio reviews as follows:

- Provide a single CPAR chart on each ACAT I, PEO program major development and production contract.
- Provide only a hard copy chart to SAF/AQ, do not display CPAR data on overheads.
- The hard copy will be marked SSI/FOUO.

2. Applicability and Scope.

2.1. Past performance information (PPI) must be collected on contracts meeting the "Business Sector" definitions defined in Attachment 3. Except as stated otherwise, the overall nature of the effort, not the type funding, will be paramount in deciding which business sector applies to a particular contract. Dollar thresholds and AFMC form requirements are set forth under paragraph 2.2. The contract thresholds for PPI collection apply to the "as modified" face value of contracts; that is, if a contract's original face value was less than the applicable threshold but subsequently the contract was

modified and the new face value is greater than the threshold, then a performance assessment (or assessments) will be made starting with the first anniversary that the contract's face value exceeded the threshold. Except for indefinite delivery contracts (see paragraph 2.10), face value is the estimated contract value for the life of the contract (inclusive of exercised and unexercised options). If the contract threshold is expected to exceed the collection threshold by exercise of option or contract modification, it may be advisable to initiate the PPI collection process prior to the value of the contract exceeding the threshold. See paragraphs 2.10 and 2.11 for the implementation of this policy on ordering type contracts.

2.2. Systems:

2.2.1. AFMC Form 38-1, **Contractor Performance Assessment Report (CPAR) -Systems**, must be completed for every contractual effort for systems with a face value (see paragraph 2.1 above) greater than \$5 million (see Attachment 3 for systems definitions and business sectors). Follow the guidance under paragraph 2.10 concerning orders under systems contracts.

2.2.2. When a single contract instrument requires segregation of costs for combining Engineering Manufacturing Development (EMD) and production efforts or containing multiple production lots, an individual CPAR may be completed for each segment of work.

2.3. Operations Support:

2.3.1. AFMC Form 162A-1, **Contractor Performance Assessment Report (CPAR) - Nonsystems**, must be completed on every contractual effort for operations support contracts whose face value (see paragraph 2.1 above) exceeds \$5 million. Follow the guidance under paragraph 2.10 concerning orders under operations support contracts.

2.4. Information Technology:

2.4.1. AFMC Form 162A-1 must be completed for all information technology contracts whose face value (see paragraph 2.1 above) exceeds \$1 million. Follow the guidance under paragraph 2.10 concerning orders under information technology contracts.

2.5. Services:

2.5.1. AFMC Form 162A-1 must be completed for all service contracts whose face value (see paragraph 2.1 above) exceeds \$1M. Follow the guidance under paragraph 2.10 concerning orders under services contracts. Services contracts may or may not be funded with 3400 money or require deliverable reports. Programmed Depot Maintenance acquisitions are considered to be services contracts.

2.6. Fuels:

2.6.1. AFMC Form 162A-1 must be completed for all fuel contracts whose face value exceeds \$100,000.

2.7. Health Care:

2.7.1. The CPAR system will not be used for health care data collection. Rather, PPI will be collected for all contracts for the acquisition and management of Health Care Services at all dollar levels via the government's Health Care Acquisition Performance System (HCAPS). This automated system is managed by Naval Sea Logistics Center Detachment, Portsmouth, NH.

2.8. Construction and Architect-Engineer (A-E) Services:

2.8.1. The CPAR system will not be used for construction and A-E data collection. Rather, PPI will be collected for all construction and A-E services contracts in accordance with the policies established at DFARS Part 236, and the Air Force and AFMC supplements thereto utilizing the existing Architect-Engineer Contract Administration Support System (ACASS), or the Construction Contractor Appraisal Support System (CCASS) for all contracts with a face value of \$25,000.00 or more that meet the definitions in Attachment 3.

2.9. Science and Technology (S&T):

2.9.1. The CPAR system will not be used to collect PPI on contracts for basic research and some applied research. This includes contracts for construction of “proof-of-principle” working prototypes. This definition includes all programs funded with program budget accounts 6.1 (Basic Research), 6.2 (Exploratory Development), and 6.3 (Advanced Technology Development). However, CPARs for projects funded by 6.4 accounts or similarly oriented appropriations should be collected and these are considered to fall under the “SYSTEMS” Business Sector.

2.9.2. The collection of PPI in support of anticipated non-6.4 S&T acquisitions will be limited to relevant information as determined by the individual source selection team and shall be collected only at the time of the particular acquisition. Requests for PPI will be tailored to each procurement during the source selection process with emphasis placed on the expertise of key personnel. Therefore, the assessment elements set forth on AFMC Form 162A-1 are not mandatory. [NOTE: Use of the “Common DoD Assessment Rating System” (included in this Instruction) is mandatory when PPI is collected for this Business Sector.]

2.10. In the case of indefinite delivery (ID) contracts as defined in FAR Subpart 16.5, formal PPI collection must be accomplished when performance has begun and the face value of the contract (BEQ or maximum quantity) exceeds the Business Sector dollar threshold pursuant to paragraph 2.1 above. The PM may elect to accomplish one CPAR for all the orders, do one CPAR for each order, or combine the two approaches above, i.e., combine several orders under one CPAR and accomplish individual CPARs for individual orders. Block 4 should include both the contract number and the order number when a single CPAR is being accomplished for one order. When an organization outside of AFMC orders against the indefinite delivery contract, the standard procedure is for the ordering agency to accomplish the past performance assessment and enter that assessment into their service’s PPI database if the individual order exceeds the PPI dollar threshold for that particular business sector. When there are to be numerous orders under one contract most of which may not exceed the dollar threshold, the PM may elect to accomplish one CPAR for an entire block of orders and gather the information required by conducting a yearly survey of ordering organizations. It is expected that the organizations responsible for collecting CPAR data for large decentralized indefinite delivery contracts will develop many different approaches to help them simplify this task. All approaches should be spelled out in the contract so that each ordering agency knows what their responsibility is in terms of collecting and/or reporting CPAR data.

2.11. CPARs will be prepared on any order issued against a basic ordering agreement (BOA) that exceeds the dollar thresholds as cited in paragraph 2.10 since each BOA order constitutes an individual contract. Consolidation of multiple orders of similar effort into one CPAR is allowable. The standard procedure is for the ordering agency (recipient of services/items) to accomplish the past performance assessment and enter that assessment into their service’s PPI database

2.12. CPARs will be prepared on any contract meeting the above requirements when the overall program/effort is managed by AFMC.

2.13. CPARs will be prepared on contracts for joint ventures that meet the thresholds above. Joint contractors will be rated on the same report, and duplicate entries will be maintained under each contractor's name in the CPAR database.

2.14. CPARs on classified contracts will be processed according to program security requirements. Hard copies of classified CPARs will be provided to HQ AFMC/DRJ.

Section B—Responsibilities Assigned

3. HQ AFMC Responsibilities:

3.1. The Director of Contracting (HQ AFMC/PK), in coordination with the Director of Requirements (HQ AFMC/DR) is responsible for managing the CPARS and maintaining the currency of this instruction.

3.2. HQ AFMC/PK will establish a HQ CPAR focal point that is responsible for maintaining the HQ automated database. The HQ CPAR focal point is also responsible for allowing other agencies to gain access to the automated database. If other government agencies do not have access to the CPARS database, the HQ CPAR focal point is responsible for responding to requests for CPAR data from other government agencies and will process all requests for CPAR data under the Freedom of Information Act (FOIA) according to paragraph 8.2.2.2.

3.3. HQ AFMC/PAK is responsible for controlling access to and use of the database. Access to the database will be permitted only when the purpose is consistent with paragraph 1.1.

3.4. HQ AFMC/PAK will analyze the database and publish the results of that analysis for use by government and industry. The analysis will include mean performance by element charts, color rating trend charts, and reason analysis by element charts. The form of this package may vary over time, but will always be consistent with paragraph 1.6. Further analyses of data from the CPARS database may be accomplished by the center CPAR focal point for internal government use, but is not authorized for release outside the government.

4. Field Activity Responsibilities. The commander or vice-commander of each field activity will:

4.1. Implement this instruction by assuring training requirements are satisfied for focal points in the program offices and reviewing officials, establishing processes to monitor the integrity (e.g., Quality) of the report, to solicit input from the contractor on non-system reports regarding the areas to be evaluated in AFMC 162A-1, block 15.e, and to monitor timely completion of CPARs.

4.2. Establish a CPAR focal point. The activity focal point is responsible for the collection, distribution, and control of CPARs. This CPAR focal point will assist the PM in implementing this instruction by providing training and other administrative assistance to ensure that reports are timely and in compliance with this instruction. See paragraph 7.6 for specific guidance on CPAR focal point responsibilities when two AFMC centers are involved with the same contract.

4.2.1. The activity focal point is responsible for ensuring that the data from the CPAR form, after cycle completion, is entered into the HQ/AFMC automated database within 5 working days after receipt of the completed CPAR. The focal point will retain the original signed hardcopy.

4.3. Ensure timely completion of reports by PMs. The PM is responsible for assessing contractor performance according to this instruction.

4.4. Ensure timely review of CPARs by reviewing officials. The reviewing official provides the check-and-balance needed to ensure report integrity, especially when there are significant disconnects between the PM and the contractor. (See paragraph 6.9.)

Section C—CPAR Procedures

5. Frequency of Reporting.

5.1. Preinitial and Initial Reports. The optional preinitial entry initiates the schedule notification (tickler) capability of the CPAR automated database. An initial CPAR is required for new contracts as set forth in paragraph 2. The initial CPAR must reflect evaluation of at least the first 180 days of performance under the contract, and may include up to the first 365 days of performance.

5.2. Intermediate Reports. Intermediate CPARs are required every 12 months throughout the entire period of performance of the contract. An intermediate CPAR is limited to contractor performance occurring after the preceding CPAR. To improve efficiency in preparing the CPAR, it is recommended that the CPAR be completed together with other reviews (e.g., award fee determinations, major program events, or program milestones). Activities may, through local processes, establish a specific submittal date for all intermediate CPARs provided they are completed for every 12-month evaluation period.

5.3. Out-of-Cycle Reports:

5.3.1. An out-of-cycle report may be required when there is a significant change in performance that alters the assessment in one or more evaluation area. When a significant change in performance has occurred, the contractor may request an updated report or the PM may unilaterally change the assessment and process a revised report. The determination as to whether or not to update a CPAR will be made solely by the PM. An updated report will only address the changed elements. Once a decision has been made to process an out-of-cycle report, all the requirements in this Instruction for processing the report apply.

5.3.2. Prior to a contract being transferred to a new PM or between field activities, the PM will complete either an AFMC Form 38-1 or AFMC Form 162A-1 if at least 4 months have elapsed since the last CPAR was completed. This updated form need not be processed through the contractor and CPAR reviewing official; rather, it should be passed to the succeeding PM for background information for completing the next CPAR.

5.3.3. Generally, no more than two CPARs per year should be completed on a contract. Out-of-cycle reports do not alter the annual reporting requirement; for example, if the normal CPAR period of performance ends on 1 November and an out-of-cycle report is accomplished, which covers a performance period that ends 6 months earlier (1 May), a second CPAR report is still required to cover the period of performance from 1 May-1 November of that same year and each 1 November throughout the life of the contract.

5.4. Final Report. A final CPAR will be completed upon contract termination, transfer of program management responsibility outside of AFMC, or the delivery of the final major end item on contract or completion of the period of performance. If a contract is near completion (with less than 18 months left on contract), a final report may be filed encompassing the time from the previous report to the end

of the contract. The final CPAR does not include cumulative information, but is limited to the period of contractor performance occurring after the preceding CPAR.

5.5. Addendum Assessments. Addendum assessment reports may be prepared, after the final past performance evaluation, to record contractor's performance relative to contract closeout and other requirements.

6. Preparing and Processing Reports:

6.1. The System Program Director or Product Group Manager for systems and PM for all other acquisitions is responsible for preparing, reviewing, signing, and processing the CPAR. (See Attachments 1 and 2 for instructions on preparing reports.) As a practical matter, the SPD in systems may delegate the preparation, review, and processing of the individual CPARs to the individual program managers. For example, the person indicated in Form 38-1, block 5, could be the day-to-day technical manager, but this person would not be authorized to sign under block 18. For Base Operating Support (BOS) contracts, it may not be desirable for the PM to prepare/sign the CPAR. Local processes will be established to provide for appropriate preparation or signature authority for BOS CPARs. The command goal for processing a CPAR is 120 days. CPARs should be completed and signed by the reviewing official not later than 120 days after the end of the evaluation period.

6.2. Completion of CPAR.

6.2.1. CPAR-Systems. As suggested above, the PM responsible for the contract being reviewed prepares the documentation and assessment in coordination with the project team. This assessment should be based on multifunctional input from specialists (including ACOs) familiar with the contractor's performance. The PM should request input from the applicable air logistics center as part of the multifunctional input referenced above. The System Program Director or Product Group Manager should ensure user input is provided via the program office integrated product team.

6.2.2. CPAR-Services. Within 30 days after contract award, the performance evaluator will solicit input from the contractor regarding the discrete activities of functions to be listed and assessed in AFMC Form 162A-1, block 15e. The contracting officer will notify the contractor in writing of the evaluator's final determination regarding these discrete activities. These discrete activities may be amended during the performance of the contract. The performance evaluator, however, should again solicit the contractor's input and must notify the contractor of any changes in a timely manner.

6.2.2.1. The performance evaluator prepares the Service-CPAR based on information for which he or she is personally cognizant and inputs received from ACOs and task or individual activity monitors. The evaluator may use the AFMC Form 162A-1, or some other means to obtain inputs. Task or individual activity monitors must fully substantiate and support each rating provided regardless of color. When the task monitor does not properly support a score, the evaluator will discuss that rating with the task monitor to arrive at a consensus assessment. The performance evaluator will be the final determinant for individual task and overall assessment for each CPAR category. Nothing in this paragraph is intended to discourage open dialogue between task monitors and the contractor about performance on individual tasks throughout the performance period of each task.

6.2.3. CPAR-Operations Support, Information Technology, S&T, and Fuels. Use guidance, as applicable, cited under paragraphs 6.2.2 and 6.2.2.1 to complete CPARs.

6.3. Other contractors, such as advisory and assistance services contractors, may provide factual input as project team members, however, under no circumstances should they be allowed to write CPARs or have access to completed CPARs. To prevent possible conflict of interest issues, use of such contractors in support of CPARS should be very rare or limited in scope.

6.4. PM narrative remarks are limited to block 16 or 17 of the forms plus two additional 8-1/2 by 11 inch typewritten pages. In rare circumstances, such as an assessment containing several blue, purple or red ratings, a third typewritten page may be added. Only when the government uses additional pages is the contractor authorized to use the same number of additional pages. For example, if the government uses its space on the CPAR form, plus one additional page for comments, then the contractor is authorized to use one page (in addition to its space on the form) as well. If the government uses 2 additional pages; then the contractor may use 2 additional pages, etc. Under no circumstances will more than three additional pages be permitted.

6.5. Contractors will be given an opportunity to review and comment on the assessment. Since communication and feedback regarding contractor performance are always encouraged, the PM may consider allowing a pre-assessment briefing by the contractor to discuss the contractor's performance during the evaluation period. These pre-assessment discussions must be structured around firm contract requirements and events, which are deemed to be critical during the upcoming reporting period. PMs are strongly encouraged to conduct face-to-face meetings with the contractor during the assessment process. Participation by representatives from the contracting office is strongly encouraged for all meetings.

6.6. The CPAR review and approval process is as follows:

6.6.1. The PM will sign and retain a copy of the CPAR and transmit the original to his or her counterpart within the contractor's organization. Local processes may require review by the activity CPAR focal point and/or reviewing official prior to sending the CPAR to the contractor. The preferred method of transmitting a report is by hand delivery (with receipt) in conjunction with face-to-face discussions. Certified mail or other methods of ensuring receipt are also acceptable. Until DoD electronic transmittal processes are established, transmittal of CPARs to and from contractors by unsecured e-mail or use of the World Wide Web is not authorized unless encrypted for access only by the specific contractor/government agency. Meetings with contractor management to discuss CPAR ratings are strongly recommended and may be pre-arranged by the government or at the request of the contractor. (See paragraph 6.6.2.6.) Regardless of the method of transmittal, a transmittal letter must accompany the CPAR.

6.6.2. The transmittal letter, which may be signed by the PM, will provide the following instructions to the contractor. (Local processes will describe the level of review and transmittal.)

"The CPAR is "source selection information" and must be protected as such. After review, transmit the CPAR back to the originating office marked and handled as "source selection information." Request return of the CPAR by certified mail or some other controlled method."

6.6.2.1. The contractor must strictly control access to the CPAR while in the contractor's organization.

6.6.2.2. The contractor must ensure the CPAR is never released to persons or entities outside

the contractor's control.

6.6.2.3. Prohibit the contractor's use of or reference to CPAR data for advertising, promotional material, preaward surveys, production readiness reviews, or other similar purposes. However, offerors are allowed to cite CPARs by contract number in their proposals and identify a Government CPAR point of contact (location and phone number), provided that no specific CPARs data is extracted and incorporated in their proposals.

6.6.2.4. Advise the contractor that comments are optional but are due to the originating office within 30 calendar days after receipt. The contractor may provide comments in response to the assessment, or sign and return the assessment without comment. If the contractor elects not to provide comments, he or she will acknowledge receipt of the CPAR by signing/dating block 19 or 20 of the forms and return the CPAR to the originating office. Comments should be focused on the objective portion of the PMs narrative and provide views on causes and implications of the assessed performance. Contractor comments are subject to the same page limitations as in paragraph 6.4. This page limit will be strictly enforced and extra pages will not be reviewed or included with the CPAR. Label all additional pages with the contractor's name, contract number, period covered by report, and page number.

6.6.2.5. PMs are encouraged to foster communication between the government and contractor about their CPARS evaluations during the entire CPAR process.

6.6.3. If the contractor does not return the CPAR within the allotted 30 days, block 18 or 19 of a retained copy will be annotated, "The report was delivered/received by the contractor on [date]. The contractor neither signed nor offered comment in response to this assessment." The program office will continue processing the CPAR.

6.6.4. After receiving and reviewing the contractor's comments on the CPAR, the PM may revise the assessment including the narrative. Revised assessments must be recorded on a new CPAR for the same period covering the original report. The original CPAR form will be attached to the new CPAR form. To ensure that the contractor's comments are understandable in context with the PM's narrative, both the original and revised PM narrative must be entered into Lotus Notes. However, the Performance Risk Assessment Groups (PRAG) must be advised that the revised narrative should be given the preponderance of weight in their considerations. The PM will notify the contractor of any revisions made to a report as a result of the contractor's comments. Such a revised report will not be sent to the contractor for further comment or resigature.

6.6.4.1. Revised CPARs must be noted, "Revision to CPAR for period (insert period covered by report)" followed by the program title and phase of acquisition. Indicate revised or affected ratings in block 15 or 16 and explain the changes in block 16 or 17. The PM will then sign block 17 or 18 of the revised CPAR and annotate block 16 or 17 of the original CPAR with "See revised CPAR." The reviewing official will sign block 21 or 22 of the revised CPAR according to paragraph 6.6. The revised CPAR will be stapled on top of the original report.

6.7. After receiving contractor comments or 30 days from the date of contractor receipt of the CPAR, whichever occurs first, the CPAR will be sent to the reviewing official for review and signature according to local processes.

6.7.1. If the PM does not choose to alter the assessment as a result of contractor comments received, the reviewing official will be provided an explanation of that decision (e.g., staff summary sheet).

6.8. To facilitate future CPAR preparation, the program office may retain CPAR copies and working papers associated with CPAR evaluations. However, all retained CPAR copies and working papers must be marked "For Official Use Only/Source Selection Information - See FAR 3.104" and handled accordingly.

6.9. The activity reviewing official must be at least one level above the PM and must be a general officer, a member of the senior executive service or the activity commander or vice-commander. Local processes will designate this individual. For S&T 6.4-funded contracts, the Air Force Research Laboratory (AFRL) Commander may delegate this authority to the center Technology Director. For major programs, the program executive officer (PEO) or the designated acquisition commander (DAC) will be given the option of acting as the reviewing official. The reviewing official's comments in the CPAR will acknowledge consideration and reconciliation, if possible, of any significant discrepancies between the PM assessment and the contractor's comments. When the reviewing official signs the CPAR, it will be considered complete.

6.10. The CPAR, signed by the reviewing official, will be entered into the HQ/AFMC automated database by activity focal points. See paragraph 7.6 for specific guidance on CPAR focal point responsibilities when two AFMC centers are involved with the same contract. Pursuant to FAR 42.1503(b), each completed CPAR (i.e., signed by the reviewing official) must be provided to the contractor. The center CPAR focal points are responsible for ensuring that all completed reports are sent to the contractor representative cited under block 19 or 20 of the CPAR form. The government will make no other distribution to any other contractor representative or contractor entity. Note that the completed CPAR is source selection information as defined FAR 3.104-3 in that it is prepared for use by the government to potentially support a future procurement and that unauthorized disclosure could compromise future procurements. This requires the contractor to protect the information from disclosure to any unauthorized persons in that it is prepared for use by the government to support future procurements utilizing source selection procedures. Classified CPARs for Special Access Programs will be distributed to HQ AFMC/DRJ and the program's cognizant PEO or DAC. The reporting requirements in this paragraph are exempt from licensing according to paragraph 2.11.5, AFI 37-124, *The Information Collections and Reports Management Program; Controlling Internal, Public, and Interagency Air Force Information Collections*.

6.11. All records created under this instruction will be retained and disposed of according to AFI 37-138, *Records Disposition-Procedures and Responsibilities* and AFMAN 37-139, *Records Disposition Schedule*. CPAR data will be mailed according to the requirements for transmitting "source selection information" (see AFFARS 5315.207(b) and FAR 3.104).

7. CPAR Focal Points.

7.1. Each CPAR focal point will file the original CPARs and all attachments. CPARs for a given contract will be retained for 3 years beyond the end of the period covered by the report on the final CPAR.

7.2. For a particular source selection, the PRAG or source selection authority must contact their CPAR focal point to obtain CPAR data from the automated database. Access to classified contracts may be requested through HQ AFMC/DRJK, 937-257-5538. Information contained in the CPARs is available for all source selections; however, data may be sanitized as applicable.

7.3. HQ AFMC/PKP is the command focal point for processing requests for access to the CPARS database from government activities outside the command. All such requests received by field activities will be referred to HQ AFMC/PKP, 4375 Chidlaw Road, Suite 6, Wright-Patterson AFB, OH 45433-5006. The telephone number is 937-257-6057. Inquiries regarding classified CPARs will be referred to HQ AFMC/DRJ.

7.4. CPAR focal points at each activity will be responsible for tracking and suspending CPARs as they become due. An optional preinitial entry may be made by the focal point which initiates the schedule notification (tickler) capability of the CPAR automated database. Activity is defined as those AFMC Centers that process CPARs. The focal points will notify the PM at least 120 days prior to the CPAR due date, according to local processes. Notice will be provided; however, this does not relieve the PM of the responsibility for processing reports in a timely manner. Focal points will not be responsible for the contents of the CPAR.

7.5. The CPAR focal point at each activity is responsible for monitoring the status of late reports. Local processes should be established to notify the activity commander, the PEO, and the DAC of reports more than 30 days overdue. CPARs delinquent more than 30 days require written explanations of the delays be provided to focal points and these should be included in reports or briefings to the activity commander.

7.6. The Integrated Weapons System Management (IWSM) policy might result in CPARs originating at one center (where the contracting office is located), but being forwarded to another center for final signature. When such CPARs are completed, it is the responsibility of the CPAR focal point at the originating center to enter these CPARs into the automated database. The CPAR focal point at the originating center also assumes all the other responsibilities of a CPAR focal point.

8. CPAR Markings and Protection.

8.1. The PM or performance evaluator is responsible for ensuring that CPARs are appropriately marked and handled. All CPAR forms, attachments and working papers must be marked "FOR OFFICIAL USE ONLY/SOURCE SELECTION INFORMATION - SEE FAR 3.104" according to DoDR 5400.7, *DoD Freedom of Information Act Program*, FAR 3.104, and AFFARS 5315.207(b). CPARs have the unique characteristic of always being pre-decisional in nature. They will always be source selection information because they will be in constant use to support ongoing and future source selections. This pre-decisional nature of CPARs is a basis for requiring that all CPAR data be protected from disclosure to unauthorized personnel.

8.2. CPARs may also contain information that is proprietary to the contractor. Information contained on the CPAR, such as trade secrets and confidential commercial or financial data obtained from the contractor in confidence, must also be protected from unauthorized disclosure. Based on the confidential nature of the CPARs, the following guidance applies to protection both internal and external to the government:

8.2.1. Internal Government Protection:

8.2.1.1. CPARs must be treated as source selection information at all times. Information contained in the CPAR must be protected in the same manner as information contained in completed source selection files. (See AFFARS 5315.207(b).)

8.2.2. External Government Protection:

8.2.2.1. Due to the sensitive and confidential nature of CPARs, disclosure of CPAR data to contractors other than the contractor, which is the subject of the report, or other entities outside the government, is not authorized. A contractor may also be granted access to its CPARs. In this situation, access to completed CPARs will be granted by the CPARS focal point. Individuals requesting access must have a letter granting disclosure, signed by the individual in charge of the operating unit for which the CPAR was executed (i.e., the division or subsidiary identified in block 1 of the CPAR). The CEO is the only other individual who may grant disclosure to corporate personnel to view CPARs. One situation where this may be applicable is when the CEO tasks an individual to review CPARs prepared for several divisions of a corporation. The CPAR access letter, signed by either the CEO or the individual in charge of the operating unit, must be presented to the CPAR focal point.

8.2.2.2. On those occasions when a FOIA request is received for CPAR records, the unit FOIA office must refer the request to 88 CG/SCCIAD, 2275 D Street, Room 0047, Wright-Patterson AFB OH 45433-7220, for subsequent consideration by HQ AFMC/PKP and HQ AFMC/JAQ.

9. Forms Prescribed. AFMC Form 38-1 and AFMC Form 162A-1.

MILTON C. ROSS, SES
Deputy Director of Contracting

Attachment 1**INSTRUCTIONS FOR BOTH COMPLETING THE SYSTEMS CPAR FORM AND ENTERING IT INTO THE HQ AUTOMATED DATABASE (DB)**

A1.1. All information on the form will be typewritten; no handwritten CPARs will be accepted by the CPAR focal points for inclusion into the automated CPAR database. Reduced (less than 12 pitch) or condensed print (less than 10 point) is not acceptable. All authorized additional pages must be annotated at the top with the contractor's name, contract number; period of covered by report, page number, and business sector. The business sectors are Aircraft, Shipbuilding, Space, Ordnance, Training Systems, Ground Vehicles, or Other Systems.

A1.2. Block 1 - Name/Address of Contractor (Division). State the name and address of the division or subsidiary of the contractor performing the contract. Identify the Parent Corporation (no address required). Identify the business sector subelement (in this case the business sector has already been identified as "systems"), the contractor's commercial and government entity code (CAGE), Data Universal Numbering System DUNS+4 number, Federal Supply Classification (FSC) Code and the Standard Industrial Classification (SIC) Code. Identify the business sector subelement from Attachment 3, Key Business Sectors, and obtain assistance from the contracting officer to ascertain the DUNS, FSC, and SIC or refer to blocks B5A, B12A, and B12D of the DD350, Individual Contracting Action Report located in the official contract file. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A1.3. Block 2 - Type Report. Indicate whether, the CPAR is a preinitial, initial, intermediate, or final report. The preinitial entry is optional and may be used to initiate the schedule notification (tickler) feature of the CPAR automated database. No evaluations are made as part of the preinitial entry. If this is an out-of-cycle report, check "intermediate." If this is a report to record contractor performance relative to contract closeout or other requirements, check "addendum." In order for the HQ automated database to accept this CPAR form, this block must be completed.

A1.4. Block 3 - Contract Number. The contract number entered into the database (DB) must include the dashes. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A1.5. Block 4 - Contracting Officer. Enter the name of the current Contracting Officer; his/her office symbol (see below), and phone number (DSN). (THIS BLOCK WILL CONTAIN THE FULL OFFICE SYMBOL OF THE RESPONSIBLE FIELD ACTIVITY (E.G., ASC/AEK), INCLUDING THE SLASH. THE AUTOMATED SYSTEM READS ALL OF THE CHARACTERS PRIOR TO THE SLASH AND STORES THAT INFORMATION AS THE RESPONSIBLE FIELD ACTIVITY. For ASC contracts at Brooks AFB, TX, the word "Brooks" shall be included in this block (e.g., 311 HSW/YAK (BROOKS).) In order for the HQ automated database to accept this CPAR form, this block must be completed.

A1.6. Block 5 - Program/Requirements Manager. Enter the name of the current Program/Requirements Manager, his/her office symbol, and phone number (DSN). (This entry should be the individual that manages the program on a day-to-day basis, not the System Program Director, Product Group Manager, or Materiel Group Manager who will sign block 18.) In order for the HQ automated database to accept this CPAR form, this block must be completed.

A1.7. Block 6 - Location of Contract Performance. Self-explanatory. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A1.8. Block 7 - Period Covered by Report. State the period of performance covered by the report. The form-flow document has been programmed to accept only YYYYMMDD format, no dashes, no slashes. In no instance should a period of evaluation include previously reported effort (i.e., CPARs are not cumulative or overlapping). CPAR assessments for "intermediate" reports should only cover a 12-month period of performance; therefore, the report should not reflect a period of performance greater than 12 months. Exceptions to this rule for special circumstances, such as a period of performance that ends 1 month before contract completion, must be approved by the local CPAR focal point. The local CPAR focal point has the authority to approve extensions when special circumstances arise. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A1.9. Block 8 - Contract Period of Performance. State current contract period of performance including any authorized extensions, such as options that have been exercised. The form-flow document has been programmed to accept only YYYYMMDD format, no dashes, no slashes. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A1.10. Block 9 - Awarded Value. Enter the dollar amount of the original basic contract. Do not use the abbreviations "B" for billions, "M" for millions and "K" for thousands. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A1.11. Block 10 - Current Contract Value (as of report date). State the current face value of contract. For incentive contracts, state the target price or total estimated amount. Do not use the abbreviations "B" for billions, "M" for millions and "K" for thousands. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A1.12. Block 11 - Basis of Award. Identify the basis of award by placing an "X" in the appropriate box. For "other," explain in block 13 the nature of the effort (e.g., a set-aside). In order for the HQ automated database to accept this CPAR form, this block must be completed.

A1.13. Block 12 - Contract Type. Identify the contract type. For mixed contract types, check the predominate contract type and identify the other contract type in the "mixed" block. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A1.14. Block 13 - Key Subcontractors and Effort Performed. Enter the names and addresses of the major subcontractors (including CAGE Code) and a brief description of the work they were required to perform in the rating period. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A1.15. Block 14 - Program Title and Phase of Acquisition. Provide a short descriptive narrative of the program. Spell out all abbreviations. Identify overall program phase and production lot (for example, concept development, engineering and manufacturing development, low-rate initial production, or full-rate production (Lot 1)). In order for the HQ automated database to accept this CPAR form, this block must be completed.

A1.16. Block 15 - Contract Effort Description. Provide a complete description of the contract effort that identifies key technologies, components, subsystems, and requirements. This section is of critical importance to future PRAGs and source selection authorities. The description should be detailed enough to assist a future PRAG in determining the relevancy of this program to their source selection. Also, keep in mind that users of this information may not understand program jargon. It is important to address the complexity of the contract effort and the overall technical risk associated with accomplishing the effort. For intermediate CPARs, a brief description of key milestone events that occurred in the review period may be beneficial (e.g., critical design review (CDR), functional configuration audit (FCA), as well as major contract modifications during the period). For task/delivery order contracts, state the number of orders issued during the period, orders completed during the period, and orders which remain active (not applicable for a CPAR evaluating a single order under an ordering contract). For contracts which include multiple functional disciplines or activities, categories should be designated to: (1) reflect the full scope of the contract, (2) allow grouping similar work efforts within the categories to avoid unnecessary segregation of essentially similar specialties or activities, and (3) avoid combining essentially dissimilar work efforts within the categories. Each category or area should be separately numbered, titled, and described within block 15 to facilitate Cross-referencing with the evaluation of the contractor's performance within each category in block 16. If necessary, the description within this block may be extended to one additional typewritten page. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A1.17. Block 16 - Evaluation Areas. Evaluate each area based on the following criteria:

A1.17.1. Each area assessment must be based on objective data that will be provided in block 17. Facts to support specific areas of evaluation must be requested from the contracting officer and other government specialists familiar with the contractor's performance on the contract under review. Such specialists may, for example, be from engineering, manufacturing, quality, logistics (including provisioning), contract administration services, maintenance, security, data, etc.

A1.17.2. The amount of risk inherent in the effort should be recognized as a significant factor and taken into account when assessing the contractor's performance. When it identifies significant technical risk and takes action to abate those risks, the effectiveness of these actions should be included in the narrative supporting the block 16 ratings.

A1.17.3. The CPAR is designed to assess prime contractor performance. However, in those evaluation areas where subcontractor actions have significantly influenced the prime contractor's performance in a negative or positive way, record the subcontractor actions in block 17.

A1.17.4. Many of the evaluation areas in block 16 represent groupings of diverse elements. The PM should consider each element and use the area rating to highlight significant issues. In addition, the evaluator should clearly focus on the contractor's "results" in determining the overall area rating.

A1.17.5. Evaluate all areas which pertain to the contract under evaluation, unless they are not applicable--"N/A."

A1.17.6. When performance has changed from one period to another such that a change in assessment category rating (color) results, the narrative in block 17 must address each change.

A1.17.7. SCORING: Will be according to the "Common DoD Assessment Rating System" as shown in Figure A1.1 below. While not mandated by DoD policy, Air Force CPARs have a corresponding color code assigned to the DoD Assessment Ratings. *Italicized* and **bold** type indicate Air

Force clarifications/emphasis. "N/A" may be entered in an assessment block if no performance of the indicated type was required by the contract in the rating period.

IMPORTANT NOTES: Per DoD policy, a fundamental principle of assigning ratings is that contractors will **not** be assessed a rating lower than Satisfactory solely for **not** performing beyond the requirements of the contract. The use of UP and DOWN arrows (formerly required by this Instruction as part of the rating score) to indicate trends in contractor performance in the rating period is discontinued. Instead, the Assessment Narrative will include any information on performance trends observed in the rating period.

Figure A1.1. Common DoD Assessment Rating System.

EXCEPTIONAL: (Blue) - Performance meets contractual requirements and exceeds many (<i>requirements</i>) to the Government's benefit. The Contractual performance of the element or subelement being assessed was accomplished with few minor problems for which corrective actions taken by the contractor were highly effective.
VERY GOOD: (Purple) - Performance meets contractual requirements and exceeds some (<i>requirements</i>) to the Government's benefit. The contractual performance of the element or subelement being assessed was accomplished with some minor problems for which corrective actions taken by the contractor were effective.
SATISFACTORY: (Green) - Performance meets contractual requirements. The contractual performance of the element or subelement contains some minor problems for which corrective actions taken by the contractor appear or were satisfactory.
MARGINAL: (Yellow) - Performance does not meet some contractual requirements. The contractual performance of the element or subelement being assessed reflects a serious problem for which the contractor has not yet identified corrective actions or the contractor's proposed actions appear only marginally effective or were not fully implemented.
UNSATISFACTORY: (Red) - Performance does not meet most contractual requirements and recovery is not likely in a timely manner. The contractual performance of the element or subelement contains serious problem(s) for which the contractor's corrective actions appear or were ineffective.

ASSESSMENT ELEMENTS FOR THE SYSTEMS SECTOR

A1.18. Block 16a - TECHNICAL (Quality of Products) - This element is comprised of an overall rating and six subelements. Activity critical to successfully complying with contract requirements must be assessed within one or more of these subelements. The overall rating at the element level is the PMs integrated assessment as to what most accurately depicts the contractor's technical performance or progress toward meeting requirements. It is not a roll-up of the subelement assessments.

The Overall Assessment Rating at the element level by the PM should be arrived after taking into account the criticality, level of risk, or difficulty of the work in the subelements to the success of the program. The subelement assessments that are the most critical, have the greater risk, or are most difficult to perform should more strongly influence the overall assessment.

A1.18.1. Block 16a(1) - Product Performance: Assess the achieved product performance relative to performance parameters required by the contract.

A1.18.2. Block 16a(2) - Systems Engineering: Assess the contractor's effort to transform operational needs and requirements into an integrated system design solution.

A1.18.3. Block 16a(3) - Software Engineering: Assesses the contractor's success in meeting contract requirements for software development, modification, or maintenance. Results from Software Capability Evaluations (SCE) (using the Software Engineering Institute (SEI) Capability Maturity Model (CMM) as a means of measurement), Software Development Capability Evaluations (SDCE), or similar software assessments may be used as a source of information to support this evaluation.

A1.18.4. Block 16a(4) - Logistic Support/Sustainment: Assess the success of the contractor's performance in accomplishing logistics planning/execution.

A1.18.5. Block 16a(5) - Product Assurance: Assess how successfully the contractor meets program quality objectives, e.g., producibility, reliability, maintainability, inspectability, testability, and system safety, and controls the overall manufacturing process.

A1.18.6. Block 16a(6) - Other Technical Performance: Assess all other technical activity critical to successful contract performance. Identify any additional assessment aspects that are unique to the contract or that cannot be captured in another subelement. Specify additional evaluation areas that are unique to the contract, or that cannot be captured elsewhere on the form. More than one type of entry may be included, but should be separately labeled. If extra space is needed, use block 17. Use this block in those instances where the PM believes strongly, either positively or negatively, regarding an aspect of the contractor's performance, but cannot fit that aspect into any of the other blocks on the form. As an example, this block may be used to address security issues such as; compliance with the National Industrial Security Program Operation Manual (NISPOM, formerly the DoD Industrial Security Manual), program protection planning, or system security engineering management requirements. An assessment of provisioning line items may also be addressed here.

A1.19. Block 16b - Schedule. Assess the timeliness of the contractor against the completion of the contract, task orders, milestones, delivery schedules, administrative requirements, etc.

A1.20. Block 16c - Cost Control. (Optional for Firm Fixed Price or Firm Fixed Price with Economic Price Adjustment.) Assess the contractor's effectiveness in forecasting, managing, and controlling contract cost.

A1.21. Block 16d - Management- This element is comprised of an overall rating and three subelements. Activity critical to successfully executing the contract must be assessed within one or more of these subelements. This overall rating at the element level is the PMs integrated assessment as to what most accurately depicts the contractor's performance in managing the contracted effort. It is not a roll-up of the subelement assessments.

A1.21.1. Block 16d(1) - Management responsiveness- Assess the timeliness, completeness and quality of problem identification, corrective action plans, proposal submittals (especially responses to change orders, ECPs, or other undefinitized contract actions), the contractor's history of reasonable and cooperative behavior, effective business relations, and customer satisfaction.

A1.21.2. Block 16d(2) - Subcontract management- Assess the contractor's success with timely award and management of subcontracts, including whether the contractor met small/small disadvantaged and women-owned business participation goals.

A1.21.3. Block 16d(3) - Program Management and Other Management- Assess the extent to which the contractor discharges its responsibility for integration and coordination of all activity needed to execute the contract; identifies and applies resources required to meet schedule requirements; assigns responsibility for tasks/actions required by contract; communicates appropriate information to affected program elements in a timely manner. Assess the contractor's risk management practices, especially the ability to identify risks and formulate and implement risk mitigation plans. If applicable, identify and assess any other areas that are unique to the contract, or that cannot be captured elsewhere under the Management element.

A1.22. Block 17 - Program Director/Manager Narrative. A short, factual narrative statement is required for all assessments regardless of color rating (e.g., even "green" ratings require narrative support). Cross-reference the comments in block 17 to their corresponding evaluation area in block 16. Each narrative statement in support of the area assessment must contain objective data. An exceptional cost performance assessment could, for example, cite the current underrun dollar value and estimate at completion. A marginal engineering design/support assessment could, for example, be supported by information concerning personnel changes. Key engineers familiar with the effort may have been replaced by less experienced engineers. Sources of data include operational test and evaluation results; technical interchange meetings; production readiness reviews; earned contract incentives; or award fee evaluations. At the bottom of this block is the following statement: "Given what I know today about the contractor's ability to execute what was in the proposal, I definitely would not, probably would not, probably would, or definitely would) award to that contractor today given that I had a choice." The evaluator must choose one of those four statements by placing an "X" in the appropriate box. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A1.22.1. Block 17 comments may be extended to two additional typewritten pages. All additional pages added to the report to continue blocks 15, 17, 19, or 21 will contain the following at the top of each page: "SOURCE SELECTION INFORMATION - SEE FAR 3.104." Further, each additional page will be annotated on the top with the contractor's name, contract number, period covered by the report, and page number.

A1.23. Block 18 - Program Director/Manager Signature. The program director/manager "signs and dates" the form prior to forwarding it to the contractor for review. This block shall contain the full office symbol of the responsible field activity (e.g., ASC/AES), including the slash. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A1.24. Block 19 - Contractor Comments. Optional. This block may be extended pursuant to Section C, paragraph 6.6.2.4.

A1.25. Block 20 - Contractor Representative Signature. Self-explanatory.

A1.26. Block 21 - Reviewing Official Comments. The reviewing official must acknowledge consideration of any significant discrepancies between the assessment and the contractor's comments. The statement, "Given what I know today about the contractor's ability to execute what was promised in the proposal, I definitely would not, probably would not, probably would, or definitely would award to the contractor today given that I had a choice.", appears at the conclusion of block 17. The determination as to whether or not the Air Force would award to the contractor today given that they had a choice will usually be made by the program manager. However, the Reviewing Official may elect to answer this ques-

tion by typing it out under block 21 of the form. In those cases, the Reviewing Official should advise the Program Manager not to answer the question so as to avoid duplicative entries. In those cases, the CPAR focal point will record the answer to the question under block 17 but will annotate block 17 for informational purposes that the Reviewing Official completed the overall evaluation question.

A1.27. Block 22 - Reviewing Official Signature. Self-explanatory. This block will contain the full office symbol of the responsible activity (e.g., AFPEO/TS), including the slash. In order for the HQ automated database to accept this CPAR form, this block must be completed.

NOTE:

PEO Code: The automated system will automatically attempt to fill out this block based on the Reviewing Official's office symbol that you previously entered. If it begins "AFPEO," the PEO Code selected should be identical to the characters which appear after the slash in the office symbol (e.g., the PEO Code associated with a reviewing official office symbol AFPEO/FB is FB). Should you come across any office symbol whose PEO code does not contain a further description to the immediate right of that code on the automated form, contact Roger Hanson, AFMC/PKPA, at DSN 787-6057 to request its addition. If the office symbol provided does not begin with "AFPEO," the automated system will automatically assign a PEO Code of "N/A."

Attachment 2

INSTRUCTIONS FOR BOTH COMPLETING THE CPAR-NONSYSTEMS FORM AND ENTERING DATA INTO THE HQ AUTOMATED DATABASE

A2.1. All information on the form will be typewritten; no handwritten CPARs will be accepted by the CPAR focal points for inclusion into the CPAR database. Reduced (less than 12 pitch) or condensed print (less than 10 point) is not acceptable. All authorized additional pages must be annotated at the top with the contractor's name, contract number, period of covered by report, page number, and business sector. The business sectors for services are professional/technical and management support, repair and overhaul, installation, and DoD transportation system. Information technology business sectors are software, hardware, and telecommunications equipment or services. Operations support business sectors are mechanical, structural, electronics, electrical, ammunition, troop support, and base supplies.

A2.2. Block 1 - Name/Address of Contractor (Division). State the name and address of the division or subsidiary of the contractor performing the contract. Identify the Parent Corporation (no address required). Identify the business sector, the contractor's commercial and government entity code (CAGE), Data Universal Numbering System DUNS+4 number, Federal Supply Schedule/PSC, and the Standard Industry Classification Code (SSIC). Identify both the business sector and business sector subelement from Attachment 3, Key Business Sectors, and obtain assistance from the contracting officer to ascertain the DUNS, FSC, and SSIC or refer to blocks B5A, B12A, and B12D of the DD Form 350, **Individual Contracting Action Report**, located in the official contract file. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A2.3. Block 2 - Type Report. Indicate whether the CPAR is a preinitial, initial, intermediate, or final report. The preinitial entry is optional and may be used to initiate the schedule notification (tickler) feature of the CPAR automated database. No evaluations are made as part of the preinitial entry. If this is an out-of-cycle report, check "intermediate." If this is a report to record contractor performance relative to contract closeout or other requirements, check "addendum." In order for the HQ automated database to accept this CPAR form, this block must be completed.

A2.4. Block 3 - Contract Number. The contract number entered into the automated database must include the dashes. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A2.5. Block 4 - Awarded Value/Current Contract Dollar Value (as of report date). For awarded value, enter the dollar amount of the original basic contract. For current value, state the current face value of contract. For incentive contracts, state the target price or total estimated amount. Do not use the abbreviations "B" for billions, "M" for millions, and "K" for thousands for any of these inputs. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A2.6. Block 5 - Contracting Officer. Enter the name of the current Contracting Officer; his/her office symbol (see below), and phone number (DSN). (THIS BLOCK WILL CONTAIN THE FULL OFFICE SYMBOL OF THE RESPONSIBLE FIELD ACTIVITY (E.G., ASC/AEK), INCLUDING THE SLASH. THE AUTOMATED SYSTEM READS ALL OF THE CHARACTERS PRIOR TO THE SLASH AND STORES THAT INFORMATION AS THE RESPONSIBLE FIELD ACTIVITY. For ASC contracts at

Brooks AFB, TX, the word "Brooks" shall be included in this block (e.g., 311HSW/YAK (BROOKS).) In order for the HQ automated database to accept this CPAR form, this block must be completed.

A2.7. Block 6 - Location of Contract Performance- Self-explanatory.

A2.8. Block 7 - Program/Requirements Manager. Enter the name of the current Program/Requirements Manager, his/her office symbol, and phone number (DSN), if applicable. NOTE: This entry should be the individual that manages the program on a day-to-day basis. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A2.9. Block 8 - Period Covered by Report. State the period of performance covered by the report. The form-flow document has been programmed to accept only YYYYMMDD format, no dashes, no slashes. In no instance will a period of evaluation include previously reported effort (i.e., CPARs are not cumulative or overlapping). CPAR assessments for "intermediate" reports should only cover a 12-month period of performance; therefore, the report should not reflect a period of performance greater than 12 months. Exceptions to this rule for special circumstances, such as a period of performance that ends 1 month before contract completion, must be approved by the local CPAR focal point. The local CPAR focal point has the authority to approve extensions when special circumstances arise. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A2.10. Block 9 - Contract Period of Performance. State current contract period of performance including any authorized extensions, such as options that have been exercised. The form-flow document has been programmed to accept only YYYYMMDD format, no dashes, no slashes. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A2.11. Block 10 - Contract Type/Key Subcontractors. Identify the contract type or types. If appropriate, identify the key subcontractors. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A2.12. Block 11 - Basis of Award. Identify the basis of award by placing an "X" in the appropriate box. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A2.13. Block 12 - Task/Delivery Order Status. For delivery or task order contracts (if appropriate) provide a task/delivery order status by inserting the appropriate numbers in the boxes labeled "Orders Issued During Period," "Orders Completed During Period," and "Orders Which Remain Active." For other contract types, where the value of "Orders Issued During Period," "Orders Completed During Period," and "Orders Which Remain Active" is each 0 (zero), place an "X" in the box for not applicable. In order for the HQ automated database to accept this CPAR form, the "Orders Issued During Period," "Orders Completed During Period," and "Orders Which Remain Active" boxes must be completed with a numerical value (e.g., use "0" (zero) in place of N/A).

A2.14. Block 13 - Program Title. Provide a short descriptive narrative of the program. Spell out all abbreviations. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A2.15. Block 14 - Contract Effort Description. Provide a short description of the contract work effort. This section is of critical importance to future PRAGs and source selection authorities. The description should be detailed enough to assist a future PRAG in determining the relevancy of this program to their source selection. Also, keep in mind that users of this information may not understand program jargon. It is important to address the complexity of the contract effort and the overall technical risk associated with accomplishing the effort. Of particular importance is the description of the functional specialty expertise or discrete activities being acquired on the contract. Examples for an O&M contract might be test associated services. For contracts which include multiple functional disciplines or activities, categories should be designated to: (1) reflect the full scope of the contract, (2) allow grouping similar work efforts within the categories to avoid unnecessary segregation of essentially similar specialties or activities, and (3) avoid combining essentially dissimilar work efforts within the categories. Each category or area should be separately numbered, titled and described within block 14 to facilitate cross-referencing with the evaluation of the contractor's performance within each category in block 15. If appropriate, cite significant subcontractors. If necessary, the description within this block may be extended to one additional type-written page. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A2.16. Block 15 - Evaluation Areas. In preparing the report, it may be necessary for the performance evaluator/program manager to integrate several diverse inputs to arrive at a single color score and narrative for each block on the form. This integration should normally be based upon judgment, rather than an arithmetic summation of inputs received. The evaluator's judgment can be based upon a number of factors, some of which are illustrated below. For each item (and subitem), the contract monitor will include the breakdown of inputs received, e.g. "1-blue, 4-green, 1-yellow, 1-red" under block 16.

A2.16.1. The performance evaluator/program manager may choose to weight performance on larger tasks more heavily than other tasks. In this case, the program evaluator/manager should explain the score in the block 16 narrative. For example, the evaluator might score a block 15 subitem as blue and state in block 16, "The contractor provided exceptional support for the XYZ and ABC projects which are the biggest/most sensitive projects they are currently performing. There have been some minor problems on two of six other tasks; however, these problems are being addressed and do not detract significantly from their superior performance on the two (XYZ and ABC) largest projects."

A2.16.2. The performance evaluator/program manager may highlight significantly positive or negative performance on any task even if overall performance on the item being scored was acceptable (green). In this case, for example, the evaluator might score block 15e(1), Test Result Analysis, as green but state in block 16, "Although overall performance in this area was acceptable during this period, their analysis of one of the tests was inaccurate, causing program interruption."

A2.16.3. If all inputs are judged to be of approximately equal significance, a quantitative summary can be used as the basis for the score in block 15. However, the description in block 16 must still provide the breakdown described above. For example, "The overall green rating is based upon 10 inputs, each of which is considered to be of equal significance as indicators of capability. Inputs received were as follows: 2-blue, 7-green, and 1-yellow."

A2.16.4. Each area assessment must be based on objective data that will be provided in block 16. Facts to support specific areas of evaluation must be requested from the contracting officer and other government specialists familiar with the contractor's performance on the contract under review.

A2.16.5. The amount of risk inherent in the effort should be recognized as a significant factor and taken into account when assessing the contractor's performance. For example, if a contractor meets an extremely tight schedule, a blue (exceptional) may be appropriate, or meeting a tight schedule with few delinquencies, a PURPLE (VERY GOOD) may be given. When a contractor identifies significant technical risk and takes action to abate those risks, the effectiveness of these actions should be included in the narrative supporting the block 15 ratings.

A2.16.6. In those evaluation areas where subcontractor actions have significantly influenced the prime contractor's performance in a negative or positive way, record the subcontractor actions in block 16.

A2.16.7. Evaluate all areas which pertain to the contract under evaluation, unless they are not applicable--"N/A. "

A2.16.8. When performance changes over time, resulting in color changes, block 16 must address each change.

A2.16.9. SCORING: Will be according to the "Common DoD Assessment Rating System" as shown in Figure A2.1 below. While not mandated by DoD policy, Air Force CPARs have a corresponding color code assigned to the DoD Assessment Ratings. *Italicized* and **bold** type indicate Air Force clarifications/emphasis. "N/A" may be entered in an assessment block if no performance of the indicated type was required by the contract in the rating period.

IMPORTANT NOTES: Per DoD policy, a fundamental principle of assigning ratings is that contractors will **not** be assessed a rating lower than Satisfactory solely for **not** performing beyond the requirements of the contract.

The use of UP and DOWN arrows to indicate trends in contractor performance in the rating period is discontinued. Instead, the Assessment Narrative will include any information on performance trends observed in the rating period.

Figure A2.1. Common DoD Assessment Rating System.

EXCEPTIONAL: (Blue) - Performance meets contractual requirements and exceeds many (<i>requirements</i>) to the Government's benefit . The Contractual performance of the element or subelement being assessed was accomplished with few minor problems for which corrective actions taken by the contractor were highly effective.
VERY GOOD: (Purple) - Performance meets contractual requirements and exceeds some (<i>requirements</i>) to the Government's benefit . The contractual performance of the element or subelement being assessed was accomplished with some minor problems for which corrective actions taken by the contractor were effective.
SATISFACTORY: (Green) - Performance meets contractual requirements. The contractual performance of the element or subelement contains some minor problems for which corrective actions taken by the contractor appear or were satisfactory.
MARGINAL: (Yellow) - Performance does not meet some contractual requirements. The contractual performance of the element or subelement being assessed reflects a serious problem for which the contractor has not yet identified corrective actions or the contractor's proposed actions appear only marginally effective or were not fully implemented.
UNSATISFACTORY: (Red) - Performance does not meet most contractual requirements and recovery is not likely in a timely manner. The contractual performance of the element or subelement contains serious problem(s) for which the contractor's corrective actions appear or were ineffective.

A2.17. Block 15a - Business Relations- Assess the integration and coordination of all activity needed to execute the contract, specifically the timeliness, completeness and quality of problem identification, corrective action plans, proposal submittals, the contractor's history of reasonable and cooperative behavior, customer satisfaction, timely award and management of subcontracts, and whether the contractor met small/small disadvantaged and women-owned business participation goals.

A2.18. Block 15b - Management of Key Personnel (For Services and Information Technology Business Sectors only)- Assess the contractor's performance in selecting, retaining, supporting, and replacing, when necessary, key personnel.

A2.19. Block 15c - Schedule. Assess the timeliness of the contractor against the completion of the contract, task orders, milestones, delivery schedules, administrative requirements (e.g., efforts that contribute to or effect the schedule variance).

A2.20. Block 15d - Cost Control. (Optional for Firm Fixed Price or Firm Fixed Price with Economic Price Adjustment)- Assess the contractor's effectiveness in forecasting, managing, and controlling contract cost.

A2.21. Block 15e - Quality of Product or Service- Assess the contractor's conformance to contract requirements, specifications, and standards of good workmanship (e.g., commonly accepted technical, professional, environmental, or safety and health standards). Use the subelements to indicate different efforts where appropriate.

A2.22. Block 15f - Other. Specify additional evaluation areas that are unique to the contract, or that cannot be captured elsewhere on the form. More than one type of entry may be included, but should be separately labeled. If extra space is needed, use block 16.

A2.23. Block 16 - Performance Evaluator/Program Manager Narrative. A short, factual narrative statement is required for all assessments regardless of color rating (e.g., even "green" ratings require narrative support). Cross-reference the comments in block 16 to their corresponding evaluation area in block 15. Each narrative statement in support of the area assessment must contain objective data. An exceptional cost performance assessment could, for example, cite the current underrun dollar value and estimate at completion. The evaluator may extend block 16 comments to two additional typewritten pages. At the bottom of this block is the following statement: "Given what I know today about the contractor's ability to execute what was in the proposal, I (definitely would not, probably would not, probably would, or definitely would) award to that contractor today given that I had a choice." The evaluator must choose one of those four statements by placing an "X" in the appropriate box. In order for the HQ automated database to accept this CPAR form, this block must be complete.

A2.23.1. All additional pages added to the report to continue block 16, 18, or 20 will contain the following at the top of each page: "SOURCE SELECTION INFORMATION - SEE FAR 3.104." Further, each additional page will be annotated on the top with the contractor's name, contract number, period covered by the report, and page number.

A2.24. Block 17 - Performance evaluator/program manager signature. The performance evaluator/program manager "signs and dates" the form prior to forwarding it to the contractor for review. This block shall contain the full office symbol of the responsible field activity (e.g., ASC/AES), including the slash. In order for the HQ automated database to accept this CPAR form, this block must be completed.

A2.25. Block 18 - Contractor Comments. Optional.

A2.26. Block 19 - Contractor Representative Signature. Self-explanatory.

A2.27. Block 20 - Reviewing Official Comments. The reviewing official must acknowledge consideration of any significant discrepancies between the assessment and the contractor's comments. The statement, "Given what I know today about the contractor's ability to execute what was promised in the proposal, I definitely would not, probably would not, probably would, or definitely would award to the contractor today given that I had a choice." appears at the conclusion of block 16. The determination as to whether or not the Air Force would award to the contractor today given that they had a choice will usually be made by the Program Manager. However, the Reviewing Official may elect to answer this question by typing it out under block 20 of the form. In those cases, the Reviewing Official should advise the Program Manager not to answer the question so as to avoid duplicative entries. In those cases, the CPAR focal point will record the answer to the question under block 16 but will annotate block 16 for informational purposes that the Reviewing Official completed the overall evaluation question.

A2.28. Block 21 - Reviewing Official Signature. Self-explanatory. This block will contain the full office symbol of the responsible activity (e.g., AFPEO/TS), including the slash. In order for the HQ automated database to accept this CPAR form, this block must be completed.

NOTE:

PEO Code: The automated system will automatically attempt to fill out this block based on the Reviewing Official's office symbol that you previously entered. If it begins "AFPEO," the PEO Code selected should be identical to the characters which appear after the slash in the office symbol (e.g., the PEO Code associated with a reviewing official office symbol AFPEO/FB is FB). Should you come across any office symbol whose PEO code does not contain a further description to the immediate right of that code on the automated form, contact Roger Hanson, AFMC/PKPA, at DSN 787-6057 to request its addition. If the office symbol provided does not begin with "AFPEO," the automated system will automatically assign a PEO Code of "N/A."

Attachment 3

COLLECTION OF PAST PERFORMANCE INFORMATION BY BUSINESS SECTOR

DoD will collect PPI using a consistent management approach across the designated business sectors. This approach shall include tailored dollar thresholds, consistent elements used to assess contractors or other government agencies, and consistent ratings applied to those elements. DoD's business sectors are defined below and categorized under the heading of either key or unique.

KEY BUSINESS SECTORS

SYSTEMS (Greater than \$5M)

Generally, products that require a significant amount of new engineering development work. Includes major modification/upgrade efforts for existing systems, as well as acquisition of new systems, such as aircraft, ships, etc. Also includes program budget account code 6.4 funded projects. More specifically:

Aircraft: Includes (both) fixed and rotary wing aircraft, and their subsystems (propulsion, electronics, communications, ordnance, etc.).

Shipbuilding: Includes ship design and construction, ship conversion, small craft (e.g., rigid inflatable boats) and associated contractor-furnished equipment, as well as ship overhaul and repair.

Space: Includes all satellites (communications, early warning, etc.), all launch vehicles, strategic ballistic missiles, and all associated subsystems, including guidance and control.

Ordnance: Includes all artillery systems (less non-Precision Guided Munitions (PGM) projectiles), tactical missiles (air-to-air, air-to-ground, surface-to-air, and surface-to-surface) and their associated launchers, and all PGM weapons and submunitions, such as the Joint Direct Attack Missile, the Sensor-Fuzed Weapon and the "Brilliant Antitank" weapon (BAT).

Ground Vehicles: Includes all tracked combat vehicles (e.g., tanks and armored personnel carriers), wheeled vehicles (e.g., trucks, trailers, specialty vehicles), and construction and material handling equipment requiring significant new engineering development. Does not include commercial equipment typically acquired from existing multiple award "schedule" contracts (e.g., staff cars, base fire trucks, etc.).

Training Systems: Generally, includes computer-based (or embedded) virtual and synthetic environments and systems of moderate-to-high complexity capable of providing training for air, sea, and land-based weapons, platforms, and support systems readiness. Does not include operation and maintenance support services beyond the scope of the initial training system acquisition, or basic and applied research in these areas.

Other Systems: Includes technologies and products that when incorporated into other systems, such as aircraft and ships, are often categorized as subsystems. However, many of these products are often acquired as systems in their own right, either as "stand-alone" acquisitions or as the object of major modification/upgrade efforts for ships, aircraft, etc. Examples include:

- Command, Control, Communication, Computer and Intelligence (C4I) systems
- Airborne and shipborne tactical computer systems
- Electrical power and hydraulic systems

- Radar and sonar systems
- Fire control systems
- Electronic warfare systems
- Propulsion systems (turbine engines -- aviation and maritime, diesel engine power installations -- maritime and combat vehicle).

Does not include tactical voice radios, personal Global Positioning Satellite (GPS) receivers, and nonvoice communication systems with commercial equivalents (See Operations Support and Information Technology sectors).

SERVICES (Greater than \$1M)

Generally, this sector includes all contracted services except those that are an integral part of a weapons system contract or related to "Science & Technology," "Construction & Architect-Engineer Services," "Information Technology," and "Health Care". Services are further defined below:

Professional/Technical & Management Support Services: Includes all consultant services -- those related to scientific and technical matters (e.g., engineering, computer software engineering and development), as well as those related to organizational structure, human relations, etc. Includes office administrative support services (e.g., operation of duplication centers, temporary secretarial support, etc.). Does not include any basic or applied research that will result in new or original works, concepts or applications, but does include contract advice on the feasibility of such research, as well as evaluation of research results.

Repair & Overhaul: Includes services related to the physical repair and overhaul of aircraft, ground vehicles, etc., and any associated subsystems or components. Includes condition evaluations of individual items received for repair or overhaul, but does not include evaluations of the feasibility or the benefits of the overall project. Does not include ship repair and overhaul which is included under the Systems subsector on Shipbuilding.

Installation Services: Includes services for ground maintenance (grass cutting, shrubbery maintenance or replacement, etc.). Includes services related to cleaning, painting, and making minor repairs to buildings and utilities services, etc. Includes contracted security and guard services. Includes installation and maintenance of fencing. Includes minor electrical repairs (e.g., replacing outlets, changing light bulbs, etc.). Includes minor road surface repairs (patching cracks, filling in potholes, etc.). Includes relocation of individual telephone lines and connections. Includes snow removal. (But, see also "Construction & Architect-Engineer Services" and "Information Technology" for the services covered by those business areas.)

INFORMATION TECHNOLOGY (Greater than \$1M)

This sector includes any equipment or interconnected system or subsystem of equipment that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission or reception of data or information. Generally, includes all computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. Does not include any military-unique C4I systems and components included under

Systems, such as JTIDS, Aegis, etc. More specifically:

Software: Includes a set of computer programs, procedures, and associated documentation concerned with the operations of a data processing system; e.g. compilers, library routines, manuals and circuit diagrams. Information that may provide instructions for computers; data for documentation; and voice, video, and music for entertainment and education.

Hardware: Includes physical equipment as opposed to programs, procedures, rules and associated documentation. In automation, the physical equipment or devices forming a computer and peripheral components.

Telecommunications Equipment or Services: Circuits or equipment used to support the electromagnetic and/or optical dissemination, transmission, or reception of information via voice, data, video, integrated telecommunications transmission, wire, or radio. The equipment or service must be a complete component capable of standing alone. This includes the following type of items: telephones, multiplexers, telephone switching systems, circuit termination equipment, radio transmitters or receivers, modems, card cages with the number and type of modem cards installed etc. This does not include the following type of items: chips, circuit cards, equipment racks, power cords, microphones, headsets, etc.

OPERATIONS SUPPORT (Greater than \$5M)

Generally spares and repair parts for existing systems. Also includes products that require a lesser amount of engineering development work than "Systems," or that can be acquired "build-to-print," "non-developmental," or COTS. More specifically:

Mechanical: Includes transmissions (automotive and aviation), landing gear, bearings, and parts/components related to various engines (turbine wheels, impellers, fuel management and injection systems, etc.).

Structural: Includes forgings; castings; armor (depleted uranium, ceramic, and steel alloys); and steel, aluminum, and composite structural components. Does not include "bare" airframes, ships, or combat vehicles (i.e., without engines and electronics).

Electronics: Includes parts and components related to digitization, guidance and control, communications, and electrooptical and optical systems. Includes individual resistors, capacitors, circuit cards, etc., as well as "modules" such as radio-frequency receivers and transmitters. Includes tactical voice radios, personal GPS receivers, etc.

Electrical: Includes electric motors, thermal batteries, auxiliary power units, and associated spares and component parts.

Ammunition: Includes all small arms ammunition and non-PGM artillery rounds.

Troop Support: Includes all food and subsistence items. Includes all clothing & textile-related items, including uniforms, tentage, personal ballistic protective gear, life preservation devices, etc. Includes all medical supplies and equipment, including medicines and diagnostic equipment (X-ray machines, etc.). Does not include any recreational or morale/welfare items.

Base Supplies: Includes all consumables and personal property items needed to maintain installations, bases, ports, etc. Includes small tools and cleaning and preservation equipment and supplies (paints, brushes, cleaning solvents, etc.). Does not include any grounds maintenance, construction, security, or

other types of services.

UNIQUE BUSINESS SECTORS

CONSTRUCTION AND ARCHITECT -ENGINEER SERVICES - Evaluate as required by FAR 36.201 and DOD FAR Supplement 236.201. Includes all noncombat construction and related architect/construction engineering tasks. Includes construction of new buildings, including foundation excavation, and building/facility-wide upgrades to Heating, Ventilation and Air Conditioning systems, electrical systems, etc. Includes all road, dam, and bridge construction, including complete road resurfacing. Does not, however, include minor repairs to road, driveway, or parking lot surfaces (e.g., patching cracks or filling in potholes). Also does not include repair or installation of any signage or pavement markings (painting divider lines, etc.). Does include major excavations (e.g., installation of new water mains or sewage systems, or major alteration of landscapes to improve drainage or to create or refurbish surface water storage facilities). Includes major alterations or repairs of installation-wide electrical power grids, trunk telephone lines, etc. Does not, however, include minor excavations related to the repair of individual pipes. Does not include the repair of individual power lines. Does not include the repair or relocation of individual telephone lines or connections. Also does not include services for building cleaning, painting, or minor repairs (fixing leaky pipes, replacing broken hinges, patching holes in plaster, etc.). Does not include any repair or installation of fencing. And, does not include snow removal.

HEALTH CARE - Includes all acquisition and management of health care services.

FUELS - Includes all fuels, lubricants, etc., regardless of end item application, except for nuclear fuels.

SCIENCE AND TECHNOLOGY - Includes all contracted basic research and some applied research as well. Includes construction of “proof-of-principle” working prototypes. Includes projects funded by program budget accounts 6.1 (Basic Research), 6.2 (Exploratory Development), and 6.3 (Advanced Technology Development), but does not include projects funded by 6.4 accounts or similarly oriented appropriations (those projects are covered by the “Systems” sector). Collection of science and technology PPI will be only at the time of the particular acquisition. No dollar threshold limits the collection of S&T PPI at this time. Collection of S&T PPI shall be limited, however, to relevant information as determined by the Source Selection team. Requests for PPI on S&T programs shall be tailored to the procurement, at the time of source selection, with the emphasis of the inquiry being on the expertise of the “key personnel” listed in the offeror’s proposal.